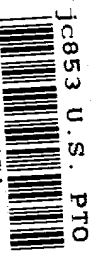


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Practitioner's Docket No. 14211.00002

PATENT

| |
|---|
| Preliminary Classification: Proposed Class: Subclass: |
|---|

jc997 U.S. PTO
09/978163
10/15/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
 Assistant Commissioner for Patents
 Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Peter Breuninger

For (title): A METHOD AND SYSTEM FOR MANAGING PORTFOLIO ACCOUNTS

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
 (When using Express Mail, the Express Mail label number is mandatory;
 Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D C 20231
37 C.F.R. 1.8(a)
☐ with sufficient postage as first class mail

☒ as "Express Mail Post Office to Addressee" Mailing Label
37 C.F.R. 1.10
 No. FL582442774US

☐ facsimile transmitted to the Patent and Trademark Office. 703 _____
TRANSMISSION

Date: October 15, 2001

Todd Conway
 Signature

Todd Conway
 Type or print name of person certifying

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

09/03/2013 10:54

2. **Papers Enclosed**

A. Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design) Application

9 Page(s) of Specification
10 Page(s) of Claims
1 Sheet(s) of Drawing(s)--Informal

B. Other Papers Enclosed

1 Page(s) of abstract

3. **Declaration or Oath**

Not Enclosed.

4. **Inventorship Statement**

The inventorship for all the claims in this application is the same.

5. **Language**

English

6. **Fee Calculation (37 C.F.R. Section 1.16)**

Regular Application

| CLAIMS AS FILED | | | | | |
|--|--------------|---------------------|--------------|----------|-----------------------------------|
| Claims | Number Filed | Basic Fee Allowance | Number Extra | Rate | Basic Fee 37 CFR 1.16(a) \$740.00 |
| Total Claims (37 CFR 1.16(c)) | 39 | - 20 = | 19 x | \$18.00 | \$342.00 |
| Independent Claims (37 CFR 1.16(b)) | 12 | - 3 = | 9 x | \$84.00 | \$756.00 |
| Multiple Dependent Claim(s), if any (37 CFR 1.16(d)) | | | + | \$280.00 | \$0.00 |
| Filing Fee Calculation | | | | | \$1,838.00 |

7. **Small Entity Statement(s)**

Applicant Claims Small Entity Status (See 37 CFR 1.27)

Filing Fee Calculation (50% of above)

\$919.00

8. **Fee Payment Being Made at This Time**

Not Enclosed

No filing fee is to be paid at this time.

9. **35 U.S.C. Section 119(e)**

This application claims the benefit of U.S. Provisional Application No.: 60/240.486, filed October 13, 2000.

Reg. No.: 43,631
Tel. No.: 215-972-8387
Customer No.: 28134



Signature of Practitioner

Bruce D. George
Saul Ewing LLP
Centre Square West
1500 Market Street, 38th Floor
Philadelphia, PA 19102

099846-10460
"E3792650"